



DIVISION OF  
ENFORCEMENT

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
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July 25, 2019

**VIA ECF AND UPS OVERNIGHT**

The Honorable P. Kevin Castel  
United States District Judge  
United States Courthouse  
500 Pearl Street, Courtroom I ID  
New York, NY 10007-1312

Re: *SEC v. Rashid*, No. 17-cv-8223-PKC

Dear Judge Castel:

In accordance with Your Honor's Individual Practices and Order dated May 19, 2019 [Doc. 92], Plaintiff Securities and Exchange Commission ("SEC") hereby submits copies of its pretrial submissions, direct testimony declarations and cited exhibits, as filed via ECF this past Monday, July 22, 2019. The copies are being transmitted with the UPS-delivered copy of this cover letter, and consist of:

- A DVD (enclosed in an envelope with this letter) that contains: (1) Word versions of the SEC's Trial Brief, and the attached exhibits to the Trial Brief: Exhibit 1 (the SEC's Omnibus Motion *In Limine* and Incorporated Memorandum of Law) and Exhibit 2 (the SEC's *Daubert* Motion to Exclude the Expert Testimony of Ronald G. Quintero); (2) PDF copies of the SEC's Direct Testimony Declarations; and (3) PDF copies of the Plaintiff's Exhibits cited in the foregoing materials.
- Two complete, duplicate sets of hard copies of the materials inventoried above, which have been transmitted in five boxes that each include a copy of this cover letter. Each set of documents consists of the following indexed binders of three-hole punched documents: (1) a binder containing the SEC's Trial Brief and exhibits thereto; (2) a binder containing the SEC's Direct Testimony Declarations; and (3) Exhibit Binders I – V. In addition, each set of documents includes a redwell folder with a copy of PX 111, which is a spreadsheet on 8.5 x 14.5 paper

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We thank Your Honor for your consideration and attention to this matter.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Duane K. Thompson". The signature is written in a cursive, flowing style with a large initial "D".

Duane K. Thompson

Enclosures

cc: Counsel of Record (via ECF)